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Attorneys for Plaintiff

UNITED STATES DISTRICT COURT
NORTHERN DISTRICT OF CALIFORNIA
SAN FRANCISCO DIVISION

SECURITIES AND EXCHANGE
COMMISSION,

Case No.: Case No. C 07-04580 MHP

Plaintiff,

vs.

KENT H. ROBERTS,

Defendant

ADR CERTIFICATION BY PARTY AND COUNSEL

Pursuant to Civil L.R. 16-8(b) and ADR L.R. 3-5(b), each of the undersigned certifies that he or she has:

- (1) Read the handbook entitled “*Dispute Resolution Procedures in the Northern District of California*” on the Court’s ADR internet site www.adr.cand.uscourts.gov;
- (2) Discussed the available dispute resolution options provided by the Court and private entities; and

1 (3) Considered whether this case might benefit from any of the available dispute
2 resolution options.
3
4 Dated this 14th day of November, 2007
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7 STEPHEN L. COHEN
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/s/

PROOF OF SERVICE

I am over the age of 18 years and not a party to this action. I am a citizen of the United States and a resident of the District of Columbia. My business address is: U.S. SECURITIES AND EXCHANGE COMMISSION, 100 F Street, NW, Washington, D.C. 20549-4030. On the date set forth below, I served the following documents in the manner described below:

ADR CERTIFICATION BY PARTY AND COUNSEL

[X] **U.S. MAIL:** I caused the above document to be placed in a sealed envelope(s), which I placed for collection and mailing today following ordinary business practices. I am readily familiar with this agency's practice for collection and processing of correspondence for mailing; such correspondence would be deposited with the U.S. Postal Service on the same day in the ordinary course of business.

[] **HAND DELIVERY:** I caused to be hand delivered each such envelope to the office of the addressee.

[] **FEDERAL EXPRESS:** By placing in sealed envelope(s) designated by Federal Express with delivery fees paid or provided for, which I deposited in a facility regularly maintained by Federal Express or delivered to a Federal Express courier.

[X] **ELECTRONIC MAIL:** By transmitting the document by electronic mail to the electronic mail address as stated below.

on the following counsel of record:

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Executed on November 14, 2007, at Washington, D.C.

STEPHEN L. COHEN